

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant : Steven M. Bloom, Michael S. Spector and John L. Jacobs Art Unit : 3693
Serial No. : 10/001,900 Examiner : Chandler, Sara M.
Filed : November 14, 2001 Conf. No. : 8995
Title : BALANCING ARBITRAGABLE TRACKING SECURITIES

MAIL STOP AMENDMENT

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

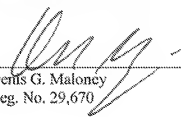
INFORMATION DISCLOSURE STATEMENT

Applicants request consideration of the references listed on the attached PTO-1449 form. Under 37 C.F.R. § 1.98 (a)(2)(ii), only copies of foreign patent documents and/or non-patent literature are enclosed. Copies of any listed U.S. patents or U.S. patent application publications can be provided upon request.

This statement is being filed after a first Office action on the merits, but before receipt of a final Office action or a Notice of Allowance. Please charge the \$180 payment of the late submission fee of \$1.17(p) to Deposit Account No. 06-1050. Please apply any other charges or credits to Deposit Account No. 06-1050.

Respectfully submitted,

Date: 6/18/07



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Substitute Form PTO-1449 (Modified)		U.S. Department of Commerce Patent and Trademark Office		Attorney's Docket No. 09857-073001		Application No. 10/001,900	
Information Disclosure Statement by Applicant (Use several sheets if necessary)				Applicant Steven M. Bloom, Michael S. Spector and John L. Jacobs			
				Filing Date November 14, 2001		Group Art Unit 3693	
(37 CFR §1.98(b))							
U.S. Patent Documents							
Examiner Initial	Desig. ID	Document Number	Publication Date	Patentee	Class	Subclass	Filing Date if Appropriate
	AA	US2001/0025266	9-27-01	Gastineau et al.			3/23/01
	AB	US2002/0091616	7-11-02	Bloom et al.			1/11/01
	AC	6,035,287		Stallaert et al.			3/7/00
	AD	6,278,983		Ball			8/21/01
	AE	6,941,280	9-05	Gastineau et al.			
	AF	7,099,838	8-06	Gastineau et al.			
	AG						

Foreign Patent Documents or Published Foreign Patent Applications								
Examiner Initial	Desig. ID	Document Number	Publication Date	Country or Patent Office	Class	Subclass	Translation	
							Yes	No
	AI	WO 10/72106	10-4-01					
	AJ							
	AJ							
	AK							
	AL							

Other Documents (include Author, Title, Date, and Place of Publication)		
Examiner Initial	Desig. ID	Document
	AM	Olienyk et al., "Using World Equity Benchmark Shares to Achieve International Diversification," <i>Journal of Financial Planning</i> , v13n6, pp: 98-113, June 2000.
	AN	"iShares, Inc. Announces Results of Special Shareholders' Meetings", Business Wire, July 3, 2000.
	AO	"iShares, Inc. Announces Estimated Tax Characteristics of August 31, 2000 Distributions", Business Wire, 2512, Sept. 7, 2000.
	AP	"iShares, Inc. Announces Launch of Its New EMU Fund and 'Non-Diversified' Classification of the EMU Fund", Business Wire, 2703, July 27, 2000.
	AQ	"Barclays Global Investors Continues Expansion of the Largest Worldwide Marketplace of Exchange Traded Funds; New iShares for all of Europe in one investment", Business Wire, 2322, July 27, 2000.
	AR	"Barclays Global Investors Begins Expansion of Exchange Traded Fund Offering; iShares Provide the Best of Stocks and Index Funds in One Investment", Business Wire, May 18, 2000.
	AS	"Barclays Global Investors Launches New Exchange Traded Fund Tracking Taiwan: iShares MSCI Taiwan is 19th MSCI Country Managed by BGI", Business Wire, 0162, June 22, 2000.

Examiner Signature	Date Considered
EXAMINER: Initials citation considered. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.	

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Other Documents (include Author, Title, Date, and Place of Publication)					
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	AT	Malkiel, Burton, G., "Investers Shouldn't Fear 'Spiders' --- Exchange-traded funds have some unique advantages and deserve a respected place in the menu of index products." The Asian Wall Street Journal: New York: 05 June 2000, p. 8 (full text) ProQuest (online) (retrieved 16-08-2002).			
	AU	Damato, Karen, and Lucchetti, Aaron, "Critics Worry About Risks of Exchange-Traded Funds". The Wall Street Journal: New York: 07 July 2000, p C1 (full text) ProQuest (online) (retrieved 16-08-2002).			
	AV	Deliva, Wilfred L. "Exchange-traded funds not for everyone", Journal of Financial Planning, Denver, April 2001, Vol. 14, Iss. 4.			
	AW	Strauss, Stuart M., "Exchange traded funds -- the wave of the future?", The Investment Lawyer, Englewood Cliffs, April 2000, Vol. 7, Iss. 4.			
	AX	Nasdaq 100 Trust Series 1 Prospectus June 30, 2000			
	AY	PCT Search Report US 02-35033			

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